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CERTIFICATION UNDER 37 C.F.R. 1.10

I hereby certify that this New Application Transmittal and the documents referred to as being enclosed therein are being deposited with the U.S. Postal Service on this date Aug 21, 2000 in an envelope as "Express Mail Post Office to Addressee", Mailing Label No. EK791964465US addressed to: Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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Aug 21, 2000
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August 21, 2000

Assistant Commissioner for Patents
Washington, DC 20231

Application for U.S. Letters Patent
Docket No. 39-MP-2828

Sir:

Enclosed herewith are the following:

- (1) Application for Letters Patent:
Applicant(s): David William Matolak
Title: "Data Encryption by Nonlinear Transfer Function"
Date(s) Executed: 8/16/00
Number of sheets of drawing: Five (5)
- (2) Assignment for the above-identified application, with cover sheet.
- (3) The Commissioner is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 13-1955. Two duplicate copies of this sheet are enclosed.
Basic Filing Fee\$ 690.00
Additional Fees:
Total number of claims, less 20 = 0 x \$22.00 = 0
Number of independent claims, less 3 = 0 x \$82.00 = 0
Total Basic Filing Fee\$ 690.00
Fee for recording Assignment 40.00
Total Filing Fee \$ 730.00

Respectfully,

William H. Meise

William H. Meise
Registration No. 27574
(In triplicate)
/mjp
Enclosures

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William H. Meise
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DATA ENCRYPTION BY NONLINEAR TRANSFER FUNCTION

Field of the Invention

This invention relates to encryption of digital data signals, and more particularly to encryption by nonlinear-impulse-response filters.

Background of the Invention

Most data encryption systems operate on the binary data produced by the data source.

The data may be encoded for error detection and/or correction before or after the encryption. The encryption is often performed by scrambling the data sequence with a "key" data sequence in order to conceal the original data sequence. Attempts may be made to alter the statistics of the encoded signal to make the signal appear more like random noise. After the encryption, the encrypted signal may be transmitted over a data path, or stored in a storage medium for later use. The transmission over a data path or storage may be viewed as a "channel" by which the encrypted signal is made available at a different time or venue. In any case, conventional digital signal processing techniques appropriate for the channel in

question are used to aid in the transmission over the channel. Such techniques may include framing/packetizing, interleaving, modulating, filtering, and amplification. At the receiving
5 end of the channel, the reverse operations are performed, in order to retrieve the original binary sequence.

An unauthorized or unintended entity which gains access to the encrypted signal by
10 interception from the channel can apply various techniques to the encrypted signal, in an attempt to extract the original binary sequence.

U.S. Patent 5,101,432, issued March
15 31, 1992 in the name of Webb, describes a digital signal encryption technique in which the encryptor is a finite-impulse-response (FIR) network in which the impulse response is varied in time as the signal is encrypted, so
20 that the impulse response "rolls" between different values during encryption. As described therein, the FIR network encrypts the signal by transforming with a substantially continuous nonlinear complex function of
25 frequency, or in other words it disperses the original signal in time. This dispersion results in irregular "random-appearing" variations in amplitude of the signal. The random-appearing variations are not random,
30 however, but arise from the time dispersion. The magnitude and possibly the phase spectra of the transformed signal are then complicated non-linear functions of frequency. Time

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dispersion as suggested by Webb implies distortion in the frequency domain. The time dispersion which Webb imposes on the signal during encryption is "inverted" by a decrypting
5 filter.

Improved signal encryption/decryption techniques are desired.

Summary of the Invention

The present invention, in general,
10 uses nonlinear transformations of one or more sets of delayed signal samples to achieve encryption. These delayed samples may be further nonlinearly combined before submission of the combined signals to the transmission
15 process. The nonlinear transformations can be selected so as to distort the signal spectrum or not, depending upon the type of encryption desired. The nonlinear transformations are particularly useful in the context of
20 communications which are broadcast or which take place over wireless channels, as the effect of one form of the encryption is similar to that of "fading" of the channel, and preferably rapid fading, thereby masking the
25 fact that the transmission is encrypted.

A method according to an aspect of the invention, for encrypting and decrypting digital data for transmission over a channel, includes the step of delaying the digital data
30 by at least one delay increment, to thereby generate a plurality of time-sequential signal samples. Where there is but a single delay, two mutually time-sequential samples are

available, and more mutually time-delayed samples are available with more delay elements.

According to a mode of the method, a set of distortion keys are provided, which set
5 includes at least one key which has a nonlinear transfer function. The key having a nonlinear transfer function may be one (or more) of (a) $\sin x$; (b) $\cos x$; (c) $\exp(j\pi M(k))$; where $M(k)$ is a conventional scrambling sequence; (d)
10 $\{\text{sum of } [a_i x^i]\}$, where the a_i are complex constants, which may be variant in time, or not variant in time; and (e) $\text{sgn}(x)$, where $\text{sgn}(x)=1$ if $x>0$ and $\text{sgn}(x)=-1$ if $x\leq 0$. Each of the time-sequential signal samples is operated on by one
15 of the keys which is a nonlinear transfer function, to thereby generate, at any instant, a plurality of distorted samples of the signal. The plurality of distorted samples of the signal is (or are) summed or nonlinearly
20 combined, to thereby generate a distortion-encrypted signal. The distortion-encrypted signal is applied to an input of the channel over which the information is to be transmitted. The distortion-encrypted signal
25 is extracted from an output of the channel, to form an extracted distortion-encrypted signal. The extracted distortion-encrypted signal is decrypted.

According to one hypostasis, the
30 method further includes, before the step of delaying the error-correction-encoded signal by at least one delay increment, the step of forward error correction encoding the digital

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data. In another hypostasis, the set of distortion encoding keys includes at least one nonlinear transfer function in which the coefficients of the nonlinear transfer function vary with time. In a particular variation of the method, the set of distortion encoding keys includes at least one nonlinear transfer function in which the coefficients of the nonlinear transfer function vary with time at a recurrence rate corresponding to the bit rate of the digital data.

In yet another mode of the method, the input of the channel is at a location which is distant from the output of the channel, and the channel comprises (a) a modulator coupled to the input of the channel, for modulating the distortion-encrypted signal onto at least one carrier signal and (b) a demodulator coupled to the output of the channel for extracting the distortion-encrypted signal from the at least one carrier signal, and the method further includes the step of performing modulation at the input of the channel, and performing demodulation at the output of the channel at the location remote from the input.

In another version of the method, the channel includes a storage medium, and the method further comprises the step of interposing a delay between the step of applying the distortion-encrypted signal to the input of the channel and the step of extracting the distortion-encrypted signal from the output of the channel. The step of interposing a

delay may include the step of recording the distortion-encrypted signal onto a magnetic disk, and playing back the magnetic disk at a time later than the recording.

5 According to one mode of the method, the step of decrypting the extracted distortion-encrypted signal is performed by a method comprising maximum likelihood sequence estimation. The maximum likelihood sequence
10 estimation may be accomplished by a Viterbi algorithm.

Brief Description of the Drawing

FIGURE 1 is a simplified block diagram illustrating a system including a
15 source of signal, an encryptor, a transmission channel, and a decryptor, showing placement of conventional encryption functions and of the encryption according to the invention;

FIGURE 2 is a simplified diagram
20 illustrating details of the distortion encryption block of FIGURE 1;

FIGURE 3 is a representation of a signal constellation of input and output signals of a two-tap encryptor according to an
25 aspect of the invention in a QPSK context;

FIGURE 4 is a power spectrum of input and output signals of the encryptor of FIGURE 3;

FIGURE 5 is a simplified block
30 diagram of a communication path including an encryptor and decryptor according to an aspect of the invention, in the context of a noise-free transmission channel;

FIGURE 6 is a table listing some characteristics of different types of decryptors in the example of FIGURES 3 and 4; and

5 FIGURE 7 is a simplified block diagram of a communication path similar to that of FIGURE 5, which provides for the possibility of temporal movement or signal storage.

Description of the Invention

10 In FIGURE 1, a communication system 10 according to an aspect of the invention includes a source arrangement 12, a transmission channel 14, and a user or sink arrangement 16. In source arrangement 12, a
15 source 18 of binary digital data representing the information to be transmitted to a data sink 38 is coupled to an input port 20i1 of a block 20. Block 20 may be an encryption arrangement which makes the binary sequence
20 spectrum appear to be random or noise-like. Encryptor 20 also receives another binary "key" sequence K_1 at its input port 20i2. The encryptor may include a logical operation, such as an exclusive-OR, which scrambles the binary
25 data sequence with the binary key sequence K_1 . Encryption may also include permutation of data blocks. Such operations are used in the common DES standard, set forth in "Cryptography for the Internet," by Zimmerman, published in the
30 October, 1998 issue of Scientific American. The binary data is applied from encryptor 20 to a forward error correction block 22, which represents the application of forward error

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correction and detection to the signal. The digital data, which may be designated $x_k(m)$, flows from block 22 to an input port 24i1 of a block 24, which represents distortion encryption according to an aspect of the invention, to form distortion encrypted digital data. The encryption performed in block 24 requires that a second key set K_2 be applied to a second input port 24i2. It should be noted that keys K_2 constitute a set, by contrast with the key K_1 . The encrypted digital data is applied from output port 24o of block 24 of source arrangement 12 to an input port 14i of the transmission channel illustrated as block 14.

Transmission channel 14 of FIGURE 1 may be as simple as a wire transmission path extending between its input port 14i and an output port 14o, or it may be an optical path which includes electrooptical transmitters and receivers, or it may be a free-space electromagnetic path (radio, or the like) including a transmitter/modulator 26, path 28, and receiver/demodulator 30, all as known in the art. In any event, the encrypted digital data is transmitted from input port 14i to output port 14o of block 14. In the context of a radio path, channel 14 may have its input port 14i and its output port 14o spaced apart.

The received and demodulated encrypted digital data at output port 14o of channel block 14 of FIGURE 1 is applied to an input port 32i1 of a distortion decryptor block

32, together with a replica of key set K_2
applied to input port 32i2, to thereby
distortion-decrypt the digital data. The
digital data so distortion-decrypted is applied
5 to an error detector and correction arrangement
illustrated as a block 34, which produces
corrected digital data, ideally identical to
that produced by conventional encryption
algorithm 20. The corrected digital data is
10 applied to an input port 36i1 of a conventional
decryptor 36, together with key K_1 applied to
input port 36i2, to decrypt the signal to
binary form. The binary form is ideally
identical to the binary signal produced by
15 digital source 18. The decrypted binary signal
is applied from decryptor 36 to a user,
represented as sink 38.

The basic encryption according to an
aspect of the invention is to apply nonlinear
20 distortion to the signal before it is
transmitted over the channel, whether that
channel be a wire connection or a free-space
path. The coefficients which produce the
distortion are, generally speaking, functional
25 operators performed on mutually delayed samples
of the signal, and not simply constants by
which the signal samples are multiplied, as in
the Webb patent and in conventional digital
filtering.

30 FIGURE 2 illustrates an encryptor
according to an aspect of the invention. In
FIGURE 2, the encryptor includes a tapped delay
line 210 including a first delay element 210₁, a

second delay element 210_2 , . . . , and an L^{th} delay element 210_L , with an output taken before and after each delay element. More particularly, a tap 212_1 precedes delay element 210_1 , a tap 212_2 follows delay element 210_1 and precedes delay element 210_2 , . . . , and a tap 212_{L+1} follows delay element 210_L . The input signal or data to be transmitted $X_k(m)$, which can in general be a sequence of complex numbers, is applied to input port 24i1, and appears undelayed at tap 212_1 . The delay T_s of each delay element of tapped delay line 210 is equal to the symbol sample duration of the applied signal. Thus, a stream or sequence of complex data enters tapped delay line 210 at a rate of once per T_s seconds, where T_s is the sample interval. The k^{th} input symbol is denoted x_k , and input symbols are generated at a rate of one per T_{sym} seconds. For simplicity, the description in the following sentence and paragraph assume that $T_s = T_{\text{sym}}$. Thus, at any time, the symbol at tap 212_1 is x_k , and the symbol at tap 212_2 is x_{k-1} or zero, and the symbol at tap 212_{k-L} is x_{k-L} or zero.

The current sample at each tap of FIGURE 2 has a function performed on it by a functional block of a set 214 of key functions.

More particularly, sample $x_k(m)$ at tap 212_1 is modified by function $f_0(\bullet, n)$ in a block 214_1 , sample $x_{k-1}(m)$ at tap 212_2 is modified by function $f_1(\bullet, n)$ in a block 214_2 , . . . , and sample $x_{k-L}(m)$ at tap 212_{L+1} is modified by function $f_J(\bullet, n)$ in a block 214_J . The

functions can in general be memoryless functions, meaning that they are incapable of dispersing the signal in time. However, some of the functions in blocks 214₁, 214₂, . . . , 214_J, may be dispersive. A salient feature of one aspect of the invention lies in that at least one of the functions is a nonlinear transfer function.

The mutually delayed, functionally-operated signals appearing at the output ports of blocks 214₁, 214₂, . . . , 214_J are applied to the input ports of a summing or combining (+) circuit 216. The output signal of summing or combining circuit 216 is the distortion-encrypted output sequence {y_n}, emitted at the rate one symbol per T_{sym} seconds at output port 240. This combining operation may also be nonlinear, e.g. f₀x_k*f₁x_{k-1}, where * represents multiplication.

In general, the sampling time T_s discussed in conjunction with FIGURE 2 will be the input symbol time T_{sym} divided by a small positive integer m, such as m=1 or m=2, and so that the outputs occur at sampling times

$$nT_s = (k/m) T_{sym} \quad (1)$$

When m is greater than one, there are m-1 zeroes between each actual symbol in the tapped delay line. The superscript "m" on the input sequence symbolizes this condition. There are J+1 taps in the delay line, and the number of symbols contained in the tapped delay line is L. From these conditions, we find that

$$mL+1 \leq J \leq mL+m \quad (2)$$

For example, if $m=2$ and $L=4$, J must be either 9 or 10.

5 The use of a tapped delay line allows the encryptor according to the invention to be easily implemented with digital circuitry, and serves to introduce intersymbol interference, to thereby distort the input digital signal. The intersymbol interference is akin to that introduced by a dispersive (multipath or
10 severely bandlimited) path or channel. For the strongest encryption, the intersymbol interference should be rapidly time varying, so that unintended or unauthorized receivers cannot acquire and "learn" the "coefficients."

15 In order to further improve the encryption to make unauthorized decryption more difficult, an aspect of the invention uses functional operations on each tap of the delay line. More specifically, on the i^{th} tap, if the
20 input is symbol $x_{k-r}(m)$, the output will be $f_r(x_{k-r}(m), n)$. This notation implies that the functions can change at each sampling time nT_s .

The distortion encryptor output at time nT_s is then described by

$$y_n = \sum_{p=0}^L f_p(x_{k-p}^{(m)}, n) \quad (3)$$

25 These functions can be represented by any mathematical operation, if possible to implement, such as linear, quadratic, cubic, . . . transcendental.

30 The encryptor output as set forth in

equation (3) represents the output of a discrete time dispersive channel with tap vector $= [f_0, f_1, \dots, f_L]$ when the input is the sequence $\{x_k\}$, as set forth in J.G. Proakis, 5 *Digital Communications*, 2nd edition, McGraw-Hill, New York 1989. With such a signal, the appropriate recovery method is termed "equalization." Equalizers essentially attempt to undo the distortion introduced by the 10 dispersive channel, with the overall goal of being the reliable estimation of the transmitted sequence $\{x_k\}$. Three types of equalizers are in common use, namely linear equalizers, decision feedback equalizers, and 15 maximum-likelihood sequence estimators. For the purpose of decrypting the encrypted signals produced by the arrangements of FIGURES 1 and 2, the maximum likelihood sequence estimator (MLSE) is most effective. The MLSE requires 20 knowledge of the channel coefficients (that is, the coefficients of the "dispersive channel," which is the described encryptor) , and attains this knowledge through an estimation scheme. In general, the MLSE must also have knowledge 25 of L, the number of symbols contained in the delay line of the equivalent dispersive channel. Failure to make a good estimate of the coefficients of the dispersive channel results in mismatch of the MLSE to the 30 encryption, which undesirably causes an estimated sequence $\{x_k\}$ having a high proportion of errors.

In the particular instance of

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encryption by functions, as described in
conjunction with FIGURES 1 and 2, and as set
forth in equation (3), rapid variation of the
functions, as for example significant or
5 appreciable variation over times less than or
equal to T_{sym} , makes conventional MLSE very
difficult. The difficulty increases as L
increases, as the rate of change of the tap
functions increases, and as the complexity of
10 the tap functions increases. For decryption of
signals encrypted by functions such as those
described, which include functions which have
nonlinear transfer characteristics, decryption,
according to an aspect of the invention, is by
15 MLSE matched to the known distortion encryptor.

The MLSE is easily implemented by the Viterbi
algorithm (VA) described in G.D. Forney "The
Viterbi Algorithm", IEEE Proceedings, vol. 61,
pp268-278, March 1973. In the decryptor block
20 32 of FIGURE 1, the key set K_2 applied to input
port 32i2 includes values of length parameters
L and J, the sampling time T_s relative to the
symbol time T_{sym} , and the set of tap functions
 $f_i(\bullet, n)$ for all time n. Naturally, the
25 decryptor must be synchronized with the
encrypted signal. This synchronization may be
accomplished in conventional manner, by the use
of a known training preamble pattern preceding
the actual information signal.

30 A simulation of a communication
system according to the invention was tested
with the following parameters:

$$m=1 \quad (T_s=T_{sym} \text{ and } n=k);$$

L=J=1 (corresponding to a single delay element);

$$f_0(x_k, k) = f_0(x_k) = 0.8x_k; \text{ and}$$

$$f_1(x_{k-1}, k) = f_1(x_{k-1}) = 0.6(x_{k-1})^2$$

5 which are not time-varying functions, but which includes a nonlinear transfer f_1 . The input sequence $\{x_k\}$ for this simulation was an uncorrelated quaternary phase-shift-keyed (QPSK) symbol sequence of unit magnitude, with
10 symbols x_k equal to $e^{j\theta_k}$ with θ_k in the set $\{0, \pi/2, \pi, 3\pi/2\}$. Blocks of 1000 symbols each were encrypted and transmitted. FIGURE 3 is an illustration of the input and output signal constellation. In FIGURE 3, the input signal
15 points are represented by asterisks, and the output signal points are illustrated by squares. The squaring operation does not produce any spectral lines, since the output constellation is zero mean, in that all symbols
20 have equal probability. FIGURE 4 illustrates input and output power spectra. The input and output spectra of FIGURE 4 are indistinguishable, and therefore FIGURE 4 does not explicitly evince encryption. The power
25 spectrum of FIGURE 4 was obtained by averaging 100 independent blocks, each having sample vectors of 1000 symbols each. The input and output power spectra are essentially identical, so the distortion encryption operation has no
30 effect on the transmitted signal spectrum in this particular case. For encryption which is most difficult to decrypt, a distorted spectrum may be desirable.

FIGURE 5 is a simplified block diagram of a cascade 510 of a distortion encryptor 512 according to an aspect of the invention, which distortion encrypts source signals $\{x_k\}$ to produce distortion encrypted signal $\{y_k\}$ on a path 514, cascaded with a receiver 516 which produces an estimate of the sequence of source signal $\{x_k\}$ on output path 518. The arrangement of FIGURE 5 provides a basis for analyzing the performance of various receivers 516. The table of FIGURE 6 lists the symbol error probability P_s for five different distortion-encryptor/receiver combinations, termed "cases." Case number 1 of the table of FIGURE 6 is for a matched Viterbi Algorithm (designated 1), which may be viewed as representing the "authorized" decryptor. From FIGURE 6, the value of P_s is zero, which represents perfect errorless decryption.

Cases 2 and 3 of the table of FIGURE 6 represent unmatched Viterbi Algorithms (designated by the number 2) that assume a linear channel. For these unmatched receivers, the coefficients are set to the optimum least-squares estimates of the coefficients, assuming that the receivers knew the first 100 transmitted symbols, as described in S.Haykin "Adaptive Filter Theory" 2nd edition, Prentice-Hall, Englewood Cliffs, NJ, 1991, for ten sets of 1000 transmitted symbols, in the absence of channel noise. These least squared values are the ones which would minimize the sum of the squared errors between the filtered received

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sequence $\{y_k\}$ filtered by the receiver filter with coefficients $\{w_i\}$, $i=(1,2,\dots,M)$ and the desired sequence $\{x_k\}$. The least-squares estimate is the best linear unbiased estimate, and represents the best that the unauthorized receiver could do if it knew the first 100 transmitted symbols $\{x_k\}$ and used a linear filter. It should be understood that the unauthorized receiver will generally not know the first 100 transmitted symbols, and the transmitted sequence would ordinarily be of greater length than 1000 symbols.

Case number 2 of the table of FIGURE 6 is for an unmatched Viterbi Algorithm decryptor in the situation in which an unauthorized decryptor might assume linear distortion, but does not know of the amplitude nonlinearity, in that it assumes that

$f_0(x_k, k) = 0.8x_k$ and that $f_1(x_{k-1}, k) = 0.6x_{k-1}$, with the application of channel coefficients $w_0 = 0.8$ and $w_1 = 0.6$. The coefficients used for the "unauthorized" receiver/decryptor in this case 2 were selected to equal the constant parts of the nonlinear functions employed in encryption, in order to more accurately model a real-world situation in which the constant parts might be correctly estimated. As set forth in the right column of the table of FIGURE 6, P_s has a value of 0.251 for this case, representing unusably high error in decrypting the encrypted signals $\{x_k\}$.

Case number 3 of the table of FIGURE 6 is for a Viterbi Algorithm decryptor, in

which the amplitude nonlinearity of the
encrypting is similarly not recognized, but
which uses the least-squares coefficients as
determined over 100 symbols. The resulting
5 error probability becomes 0.091, or almost 10%.

Such a high error rate makes the Viterbi
Algorithm decryptor relatively useless for
generating a reliable estimate of the received
symbols, even with coefficients selected on the
10 basis of least-squares approximation with 100
known symbols. In the absence of the
advantages of knowing the first 100 symbols, it
seems unlikely that this decrypting scheme
would be at all useful.

15 Cases 4, 5, and 6 of the table of
FIGURE 6 are for the situation in which the
receiver 516 of FIGURE 5 is a linear equalizer,
which is less powerful for decrypting than the
Viterbi Algorithms of cases 2 and 3. Case 4 is
20 for a linear equalizer with three coefficients
set equal to the least-squares estimates over
100 known symbols, and the resulting symbol
error probability is 0.058. Comparing cases 3
and 4, it can be seen that the "unmatched"
25 Viterbi algorithm performed worse than the
simple linear equalizer; this illustrates the
well-known sensitivity of MLSE to mismatch.
Case 5 is for a linear equalizer with seven
coefficients equal to least-squares estimates
30 over 100 known symbols, and the resulting
symbol error rate is 0.18. Case 6 is for a
linear equalizer with eleven coefficients equal
to the least-squares estimates over 100 known

symbols, and the resulting symbol error rate is 0.222.

5 An unauthorized receiver or
"eavesdropper," in order to decrypt a signal
encrypted according to an aspect of the
invention, must first identify the system as
being one in which amplitude and/or phase
nonlinearity is intentionally used. In a
context in which fading may be expected, even
10 this step may be difficult. In the absence of
knowledge of the nonlinearity and the
coefficients and/or functions which control it,
the decoding must be done "blindly," as
described by Lainiotis and Papaparaskeva "A
15 *Partitioned Adaptive Approach to Nonlinear
Channel Equalization*," IEEE Transactions on
Communications, vol. 46, no. 10, pp 1325-1336,
October 1998.

20 The invention differs from Webb's
arrangement in that the invention uses a
nonlinear transformation in the time domain,
which can yield a linear transfer function in
the frequency domain. By contrast, Webb's
arrangement uses a linear transformation in the
25 time domain to obtain nonlinear transfer
functions in the frequency domain. The linear
transfer function in the frequency domain can
be advantageous in that it tends to disguise
the encryption, or make it difficult to
30 determine that encryption has taken place. As
in the earlier example, for the case of a
quaternary phase modulation (QPSK) input
signal, the complex input symbols lie in the

set $\{1, j, -1, -j\}$ where $j = \text{square root of } (-1)$. The encryptor function

$$y_n = 0.8 (X_n) + 0.6 (X_{n-1})^2$$

where:

- 5 y_n = the output at time n ;
 X_n = input at time n ; and
 X_{n-1} = input at time $n-1$,
yields an output power spectrum that is
identical to that of the input. This means
10 that the amplitude transfer function is unity.
The same conclusion regarding the amplitude
transfer function applies to any unit-magnitude
input signal type, which is to say for any size
phase modulation alphabet.
- 15 FIGURE 7 is similar to FIGURE 5, but
includes a signal or information storage scheme
for temporally storing the message transmitted
over the channel. Note that the arrangement of
FIGURE 5 allows transmission only in the
20 spatial context. In FIGURE 7, signal $\{x_k\}$ is
applied to distortion encryptor 512, which
produces an encrypted signal. The encrypted
signal is applied to a channel or transmission
path designated generally as 714, from which
25 the signal is applied to receiver 516.
Receiver 516 produces an estimate of $\{x_k\}$ as
described above on a path 518. Path 714 may
include either a temporal movement, location
movement, or both. As illustrated in FIGURE 7,
30 path 714 includes a recording device
illustrated as 714, which receives the
encrypted information, and stores the
information on a storage medium. The medium

stores the encrypted information, and after temporal movement (after a period of time) the recording may be replayed, for application directly to the receiver 516. Thus, if the
5 receiver 516 is at the same site or location as the encryptor, there is no movement in space, and only movement in time has occurred. On the other hand, if the receiver 516 is at a distant location, the recording medium with the
10 recorded message may be physically transported over path 790 to a player illustrated as 714₂ at a distant location, and replayed at that distant location for application to receiver 516, thus effectuating both temporal and
15 spatial movement.

Other embodiments of the invention will be apparent to those skilled in the art. Should greater encryption security be desired, more taps could be used in the delay line,
20 although the complexity of the authorized decryptor increases as m_k^L , where m_k is the number of symbols in the transmitted symbol alphabet (four for QPSK), and L is the number of symbols in the delay line. Encryptor
25 strength can also be increased by the use of time-varying functions or coefficients, such as, for example, $f_0(x_k, n) = r_{k1}x_k$ and $f_1(x_{k-1}, n) = r_{k2}(x_{k-1})^2$, where r_{k1} and r_{k2} are complex Gaussian processes with a fairly large
30 normalized Doppler spread, on the order of $F_D T_s = 0.1$. Such random or pseudorandom processes are easily generated.

Thus, a communication system

according to an aspect of the invention includes an encryptor and a decryptor. For improved encryption security, the encryptor includes a multitap delay line to produce

5 mutually delayed samples of the signal to be encrypted. Each sample is operated on by a key or function to produce modified signal samples, and the modified signal samples are summed or combined to produce the encrypted signal.

10 According to one aspect of the invention, at least one of the keys or functions includes a nonlinear function. In some embodiments, the functions are time-variant for improved security. Decryption is accomplished in some

15 embodiments by an equalizer. The preferred equalizer is the maximum-likelihood-sequence estimators matched to the encryption functions. A Viterbi algorithm makes it easy to implement the matched equalizer.

20 More particularly, the present invention, uses nonlinear transformations of one or more sets of delayed signal samples to achieve encryption. These delayed samples may be further nonlinearly combined before

25 submission of the combined signals to the transmission process. The nonlinear transformations can be selected so as to distort the signal spectrum or not, depending upon the type of encryption desired. The

30 nonlinear transformations are particularly useful in the context of communications which are broadcast or occur over wireless paths or channels, as the effect of one form of the

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encryption is similar to that of "fading" of the channel, and preferably rapid fading, thereby masking the fact that the channel is encoded.

5 A method according to an aspect of the invention, for encrypting and decrypting digital data for transmission over a channel, includes the step of delaying ($210_1, 210_2, \dots, 210_L$) the digital data (x_k) by at least one
10 delay increment, to thereby generate a plurality of time-sequential signal samples (at taps $212_1, 212_2, \dots, 212_{L+1}$). Where there is but a single delay, two mutually time-sequential samples are available, and more
15 mutually time-delayed samples are available with more delay elements. According to a mode of the method, a set (K_2) of distortion keys are provided, which set includes at least one key which has a nonlinear transfer function. The
20 key having a nonlinear transfer function may be one (or more) of (a) $\sin x$; (b) $\cos x$; (c) $\exp(j\pi M(k))$, where $M(k)$ is a conventional scrambling sequence; (d) $\{\text{sum of } [a_i x^i]\}$, where the a_i are complex constants, which may
25 be variant in time, or not variant in time; and (e) $\text{sgn}(x)$. Each of the time-sequential signal samples is operated on by one of the keys which is a nonlinear transfer function, to thereby generate, at any instant, a plurality of
30 distorted samples of the signal (at the output of set 214 of functions). The plurality of distorted samples of the signal is (or are) summed or combined (216), to thereby generate a

distortion-encrypted signal (y_n). The distortion-encrypted signal is applied to an input of the channel (14, 514) over which the information is to be transmitted. The distortion-encrypted signal is extracted from an output of the channel (by demodulator 30, if necessary), to form an extracted distortion-encrypted signal. The extracted distortion-encrypted signal is decrypted.

According to one hypostasis, the method further includes, before the step of delaying the error-correction-encoded signal by at least one delay increment, the step of forward error correction (22) encoding the digital data. In another hypostasis, the set of distortion encoding keys (K_2) includes at least one nonlinear function in which the coefficients of the nonlinear function vary with time. In a particular variation of the method, the set of distortion encoding keys (K_2) includes at least one nonlinear function in which the coefficients of the nonlinear function vary with time at a recurrence rate corresponding to the bit rate (T_s) of the digital data.

In yet another mode of the method, the input (14i) of the channel (14) is at a location which is distant from the output (14O) of the channel, and the channel comprises (a) a modulator (26) coupled to the input (14I) of the channel (14), for modulating the distortion-encrypted signal (y_n) onto at least one carrier signal and (b) a demodulator (30)

coupled to the output of the channel for
extracting the distortion-encrypted signal from
the at least one carrier signal, and the method
further includes the step of performing
5 modulation at the input of the channel, and
performing demodulation at the output of the
channel at the location remote from the input.

In another version of the method, the
(14) channel includes a storage medium, and the
10 method further comprises the step of
interposing a delay between the step of
applying the distortion-encrypted signal to the
input of the channel and the step of extracting
the distortion-encrypted signal from the output
15 of the channel. The step of interposing a
delay may include the step of recording the
distortion-encrypted signal onto a magnetic
disk, and playing back the magnetic disk at a
time later than the recording.

20 According to one mode of the method,
the step of decrypting the extracted
distortion-encrypted signal is performed by a
method comprising maximum likelihood sequence
estimation. The maximum likelihood sequence
25 estimation may be accomplished by a Viterbi
algorithm.

WHAT IS CLAIMED IS:

1. A method for encrypting digital data for transmission over a channel, said method comprising the steps of:

- 5 delaying said digital data by at least one delay increment, to thereby generate a plurality of time-sequential signal samples; providing a set of distortion encoding keys including at least one nonlinear transfer function;
- 10 operating on each of said time-sequential signal samples by one of said keys which is a nonlinear transfer function, to thereby generate, at any instant, a plurality of distorted samples of said signal;
- 15 summing said plurality of distorted samples of said signal, to thereby generate a distortion-encrypted signal; applying said distortion-encrypted signal to an input of said channel;
- 20 extracting said distortion-encrypted signal from an output of said channel, to form an extracted distortion-encrypted signal; and decrypting said extracted distortion-encrypted signal.

2. A method according to claim 1, further including, before said step of delaying said error-correction-encoded signal by at least one delay increment, the step of forward error correction encoding said digital data.
- 5

3. A method according to claim 1,

5 applying said distortion-encrypted signal to
said input of said channel and said step of
extracting said distortion-encrypted signal
from said output of said channel.

7. A method according to claim 6,
wherein said step of interposing a delay
includes the step of recording said distortion-
encrypted signal onto a magnetic disk, and
5 playing back said magnetic disk at a time later
than said recording.

8. A method according to claim 6,
wherein said step of decrypting said extracted
distortion-encrypted signal is performed by a
method comprising maximum likelihood sequence
5 estimation.

9. A method according to claim 8,
wherein said step of decrypting by a method
comprising maximum likelihood sequence
estimation includes the step of applying a
5 Viterbi algorithm.

10. A method according to claim 1,
wherein said step of providing a set of
distortion encoding keys including at least one
nonlinear transfer function includes the step
5 of providing at least one of (a) $\sin x$; (b) \cos
 x ; (c) $\exp(j\pi M(k))$; where $M(k)$ is a
conventional scrambling sequence; (d) $\{\sum$ of
 $[a_i x^i]\}$, where the a_i are complex constants;
and (e) $\operatorname{sgn}(x)$ functions.

11. A method according to claim 1,
wherein said step of decrypting said extracted
distortion-encrypted signal comprises the step
of equalization.

12. A method according to claim 11,
wherein said equalization step comprises the
step of maximum-likelihood-sequence estimation.

13. A method according to claim 12,
wherein said step of maximum-likelihood-
sequence estimation includes the step of
matching the maximum-likelihood-sequence
5 estimation to those steps generating said
distortion-encrypted signal from said digital
data.

Abstract of the Disclosure

A communication system includes an
encryptor and a decryptor. For improved
encryption security, the encryptor includes a
5 multitap delay line to produce mutually delayed
samples of the signal to be encrypted. Each
sample is operated on by a key or function to
produce modified signal samples, and the
modified signal samples are summed or combined
10 to produce the encrypted signal. According to
one aspect of the invention, at least one of
the keys or functions includes a nonlinear
function. In some embodiments, the functions
are time-variant for improved security.
15 Decryption is accomplished in some embodiments
by an equalizer. The preferred equalizer is
the maximum-likelihood-sequence estimators
matched to the encryption functions. A Viterbi
algorithm makes it easy to implement the
20 matched equalizer.(124)

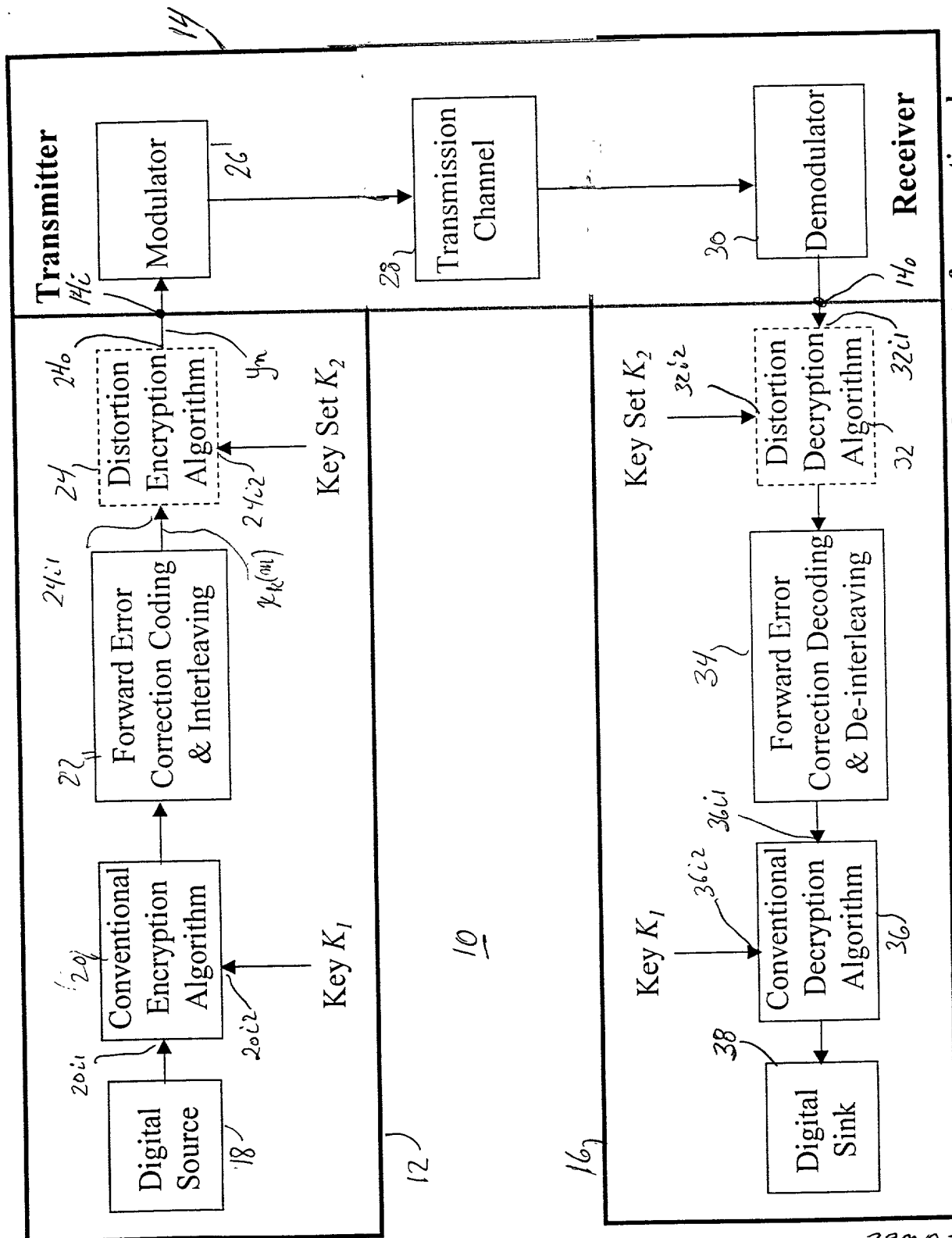


Figure 1. Depiction of communication system showing placement of conventional encryption functions and location of new "distortion encryption" functions.

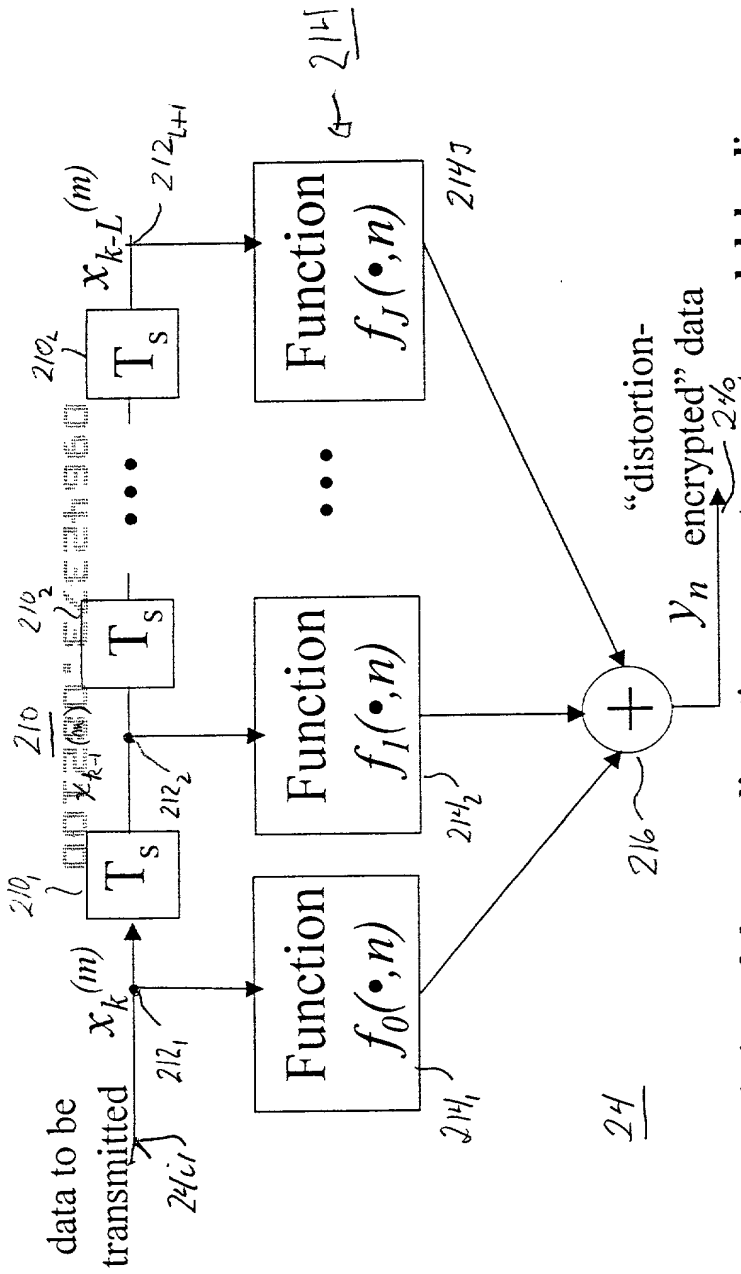


Figure 2. Depiction of the new distortion encryptor as a tapped delay line.

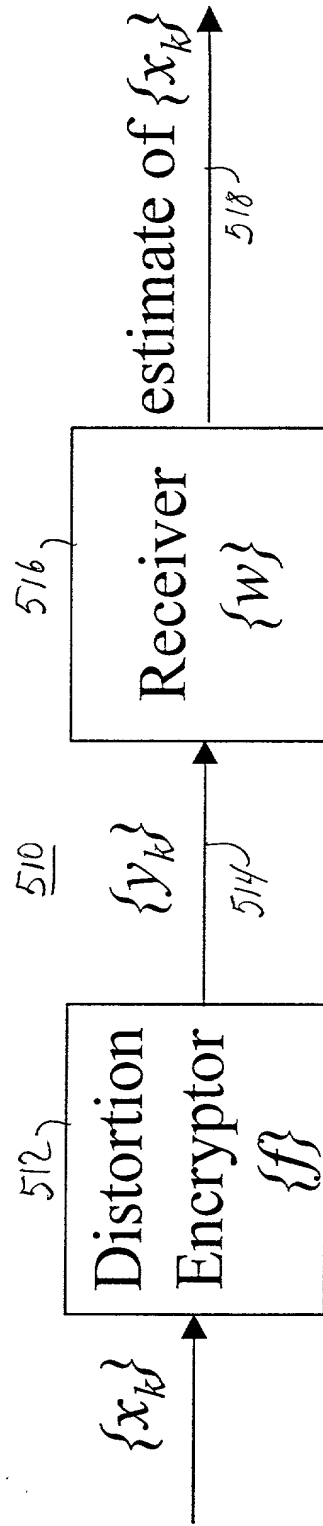


Figure 5. Illustration of simulation configuration for two-tap example.

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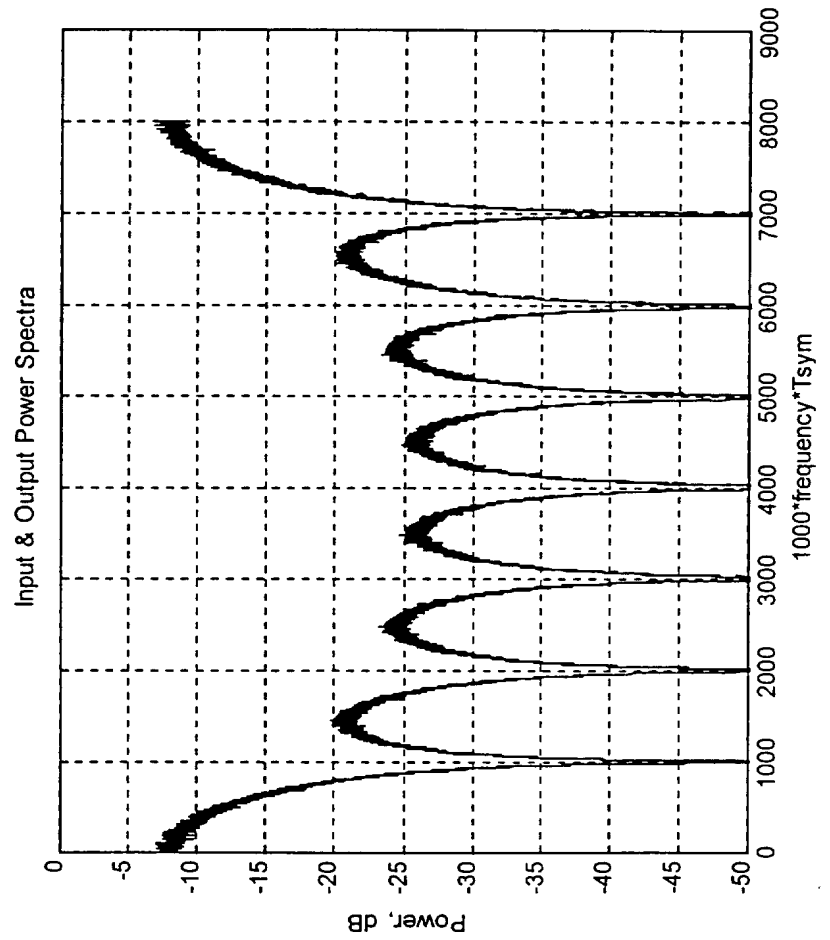


Figure 4. Power spectra of the input and output signals for the two-tap example, obtained by averaging 100 independent blocks of 1000 symbols each

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Table 1. Simulation results for the two-tap example.

Case	Receiver Type	Symbol Error Probability P_s
1	1. "matched" VA	0
2	2. "unmatched" VA, with channel coefficients $w_0=0.8$, $w_1=0.6$ (assumes a <i>linear</i> distortion)	0.251
3	2. "unmatched" VA, with channel coefficients equal to LS estimates over 100 known symbols, $\mathbf{w} = [0.8157 - 0.0109j, 0.1081 + 0.0402j]$ (assumes a <i>linear</i> distortion)	0.091
4	3. linear EQ, with (3) coefficients equal to LS estimates over 100 known symbols, $\mathbf{w} = [0.8201 - 0.0166j, 0.114 + 0.0272j, -0.0513 - 0.02264j]$	0.058
5	3. linear EQ, with (7) coefficients equal to LS estimates over 100 known symbols, $\mathbf{w} = [0.8382 - 0.0134j, 0.0964 + 0.0427j, -0.0827 - 0.0399j, -0.0191 - 0.0243j, 0.1069 + 0.0523j, -0.0129 + 0.0910j, 0.0346 - 0.0394j]$	0.18
6	3. linear EQ, with (11) coefficients equal to LS estimates over 100 known symbols, $\mathbf{w} = [0.8372 + 0.0362j, 0.0881 - 0.0258j, -0.0700 + 0.0860j, 0.0001 + 0.0368j, 0.1330 - 0.0748j, -0.0013 - 0.0995j, 0.0405 + 0.0099j, 0.1328 - 0.0366j, 0.0506 + 0.0960j, 0.0420 - 0.0022j, 0.0552 - 0.0444j]$	0.222

Fig. 6

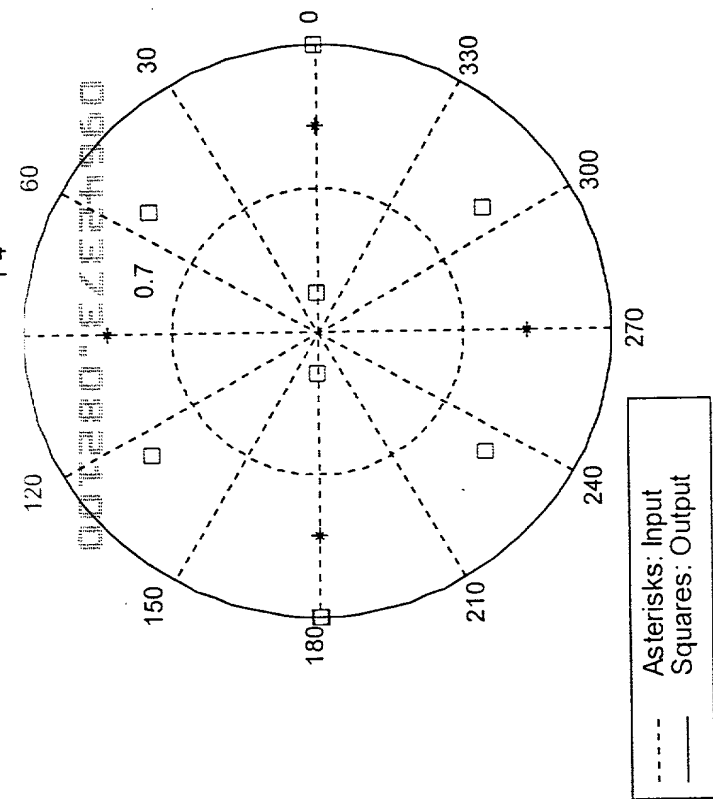
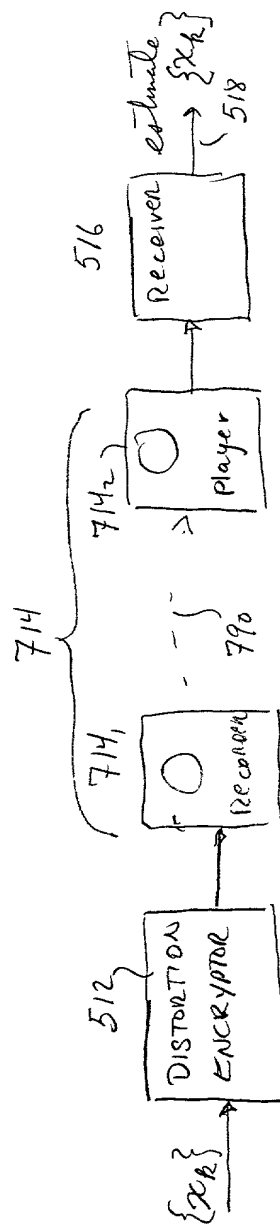


Figure 3. Signal constellation for the input and output signals for the two-tap example.



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Fig. 7

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

"DATA ENCRYPTION BY NONLINEAR TRANSFER FUNCTION"

the specification of which

(check one) X is attached hereto.

was filed on _____ as
Application Serial No. _____
and was amended on _____ (if
applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Serial No.	Filing Date	Status
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I hereby appoint the following attorneys to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith: William H. Meise, Registration No. 27,574, Geoffrey H. Krauss, Registration No. 27,343, Robert P. Cogan, Registration No. 25,049, Stephen A. Young, Registration No. 25,048, John J. Morrissey, Registration No. 26,208;

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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